

PTO/SB/96 (08-03)

Approved for use through 07/31/2006. OMB 0651-0031  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Thomas J. Nelson et al.Application No./Patent No.: 10/724,833 Filed/Issue Date: December 2, 2003Entitled: Artificial Low-Density Lipoprotein Carriers For Transport Of Substances Across The Blood-Brain BarrierBlanchette Rockefeller Neuroscience Institute, a Nonprofit Organization  
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1.  the assignee of the entire right, title, and interest; or2.  an assignee of less than the entire right, title and interest.The extent (by percentage) of its ownership interest is \_\_\_\_\_ %  
in the patent application/patent identified above by virtue of either:A.  An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded  
in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is  
attached.**OR**B.  A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown  
below:1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached. Additional documents in the chain of title are listed on a supplemental sheet. Copies of assignments or other documents in the chain of title are attached.[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document)  
must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be  
recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

1/23/04

Date

304 293 4511

Telephone number

Robert M. D'Alessandro, M.D.

Robert M. D'Alessandro, M.D.

Signature

CEO Executive Director

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Form PTO-1595  
(Rev. 10/02)

OMB No. 0651-0027 (exp. 6/30/2005)

## RECORDATION FORM COVER SHEET

U.S. DEPARTMENT OF COMMERCE  
U.S. Patent and Trademark Office**PATENTS ONLY**

Tab settings → → →

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

## 1. Name of conveying party(ies):

1. Thomas Nelson
2. Alessandro Quattrone
3. Daniel L. Alkon

Additional name(s) of conveying party(ies) attached?  Yes  No

## 3. Nature of conveyance:

- |  |   |
|--|---|
| <input checked="" type="checkbox"/> Assignment | <input type="checkbox"/> Merger         |
| <input type="checkbox"/> Security Agreement    | <input type="checkbox"/> Change of Name |
| <input type="checkbox"/> Other                 |   |

1. 01/29/04	3. 02/09/04
2. 02/13/04	

Execution Date:

## 2. Name and address of receiving party(ies)

Name: Blanchette Rockefeller Neurosciences Institute

Internal Address: \_\_\_\_\_

Street Address: 9601 Medical Center Drive, 3rd Flr.

City: Rockville State: MD Zip: 20850

Additional name(s) & address(es) attached?  Yes  No

## 4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

## A. Patent Application No.(s)

10/724,833

## B. Patent No.(s)

Additional numbers attached?  Yes  No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Einar Stole

Internal Address: Milbank, Tweed, Hadley &  
McCloy LLP

Street Address: 1825 Eye Street, N.W., #1100

City: Washington State: D.C. Zip: 20006

## 6. Total number of applications and patents involved: \_\_\_\_\_

7. Total fee (37 CFR 3.41). \$ 40.00

 Enclosed Authorized to be charged to deposit account

## 8. Deposit account number:

(Attach duplicate copy of this page if paying by deposit account)

**DO NOT USE THIS SPACE**

## 9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Einar Stole

Name of Person Signing

Signature

03/10/04

Date

Total number of pages including cover sheet, attachments, and documents: Mail documents to be recorded with required cover sheet information to:  
Commissioner of Patents & Trademarks, Box Assignments  
Washington, D.C. 20231

## PATENT

Docket No. 17357.01302US  
 Worldwide Rights - Sole or Joint

## ASSIGNMENT FOR PATENT

For good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, each undersigned inventor has sold and assigned, and by these presents hereby sells and assigns, unto Blanchette Rockefeller Neurosciences Institute, 9601 Medical Center Drive, 3<sup>rd</sup> Floor, Rockville, Maryland 20850 (hereinafter ASSIGNEE) all right, title and interest in and to his invention relating to Artificial Low-Density Lipoprotein Carriers For Transport Of Substances Across The Blood-Brain Barrier as set forth in his United States Patent Application

executed concurrently herewith

executed on \_\_\_\_\_

Serial No. 10/724,833 filed December 2, 2003.

in and to said United States Patent Application including any and all divisions or continuations thereof and in and to any and all Letters Patent of the United States which may issue on any such application or for said invention, including any and all reissues or extensions thereof and all applications for Letters Patent which may hereafter be filed for said invention in any country or countries foreign to the United States, and all Letters Patent which may be granted for said invention in any country or countries foreign to the United States and all divisions, continuations, additions, extensions, renewals and reissues thereof and all rights of priority in any such country or countries based upon the filing of the said application for Letters Patent of the United States which are created by any law, treaty or international convention; to be held and enjoyed by said ASSIGNEE, its successors, legal representatives and assigns to the full end of the term or terms for which any and all such Letters Patent may be granted as fully and entirely as would have been held and enjoyed by the undersigned had this Assignment not been made;

Each of the undersigned hereby authorizes and requests the Commissioner of Patents and Trademarks to issue any and all such Letters Patent to said ASSIGNEE, its successors or assigns in accordance herewith;

Each of the undersigned warrants and covenants that he has the full and unencumbered right to sell and assign the interests herein sold and assigned and that he has not executed and will not execute any document or instrument in conflict herewith;

Each of the undersigned further covenants and agrees that at any time upon request of said ASSIGNEE, its successors, legal representatives or assigns he will communicate to said ASSIGNEE, its successors, legal representatives or assigns all information known to him relating to said invention or patent application and that he will execute and deliver any papers, make rightful oaths, testify in any legal proceedings and perform all other lawful acts deemed necessary or desirable by said ASSIGNEE, its successors, legal representatives or assigns to perfect title to said invention, to said application including divisions and continuations thereof and to any and all Letters Patent which may be granted therefore or thereon, including reissues or extensions, in said ASSIGNEE, its successors, or assigns or to assist said ASSIGNEE, its successors, legal representatives or assigns in obtaining, reissuing or enforcing Letters of Patent of the United States for said invention;

## Name and Signatures of Inventors:

<i>thomas nelson</i>	date <u>1/29/04</u>	date _____
Name: Thomas Nelson	Name: _____	Name: _____
_____	date _____	date _____
Name: Alessandro Quattrone	Name: _____	Name: _____
_____	date _____	date _____
Name: Daniel L. Alkon	Name: _____	Name: _____
_____	date _____	date _____
Name: _____	Name: _____	Name: _____

Note: *Prima facie* evidence of execution may optionally be obtained by execution of this document before a U.S. Consul or before a local officer authorized to administer oaths whose authority is proved by a certificate from a U.S. Consul.

PATENT  
Docket No. 17357.01302US  
Worldwide Rights -- Sole or Joint

## ASSIGNMENT FOR PATENT

For good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, each undersigned inventor has sold and assigned, and by these presents hereby sells and assigns, unto Blanchette Rockefeller Neurosciences Institute, 9601 Medical Center Drive, 3<sup>rd</sup> Floor, Rockville, Maryland 20850 (hereinafter ASSIGNEE) all right, title and interest in and to his invention relating to Artificial Low-Density Lipoprotein Carriers For Transport Of Substances Across The Blood-Brain Barrier as set forth in his United States Patent Application

executed concurrently herewith

executed on \_\_\_\_\_

Serial No. 10/724,833 filed December 2, 2003.

in and to said United States Patent Application including any and all divisions or continuations thereof and in and to any and all Letters Patent of the United States which may issue on any such application or for said invention, including any and all reissues or extensions thereof and all applications for Letters Patent which may hereafter be filed for said invention in any country or countries foreign to the United States, and all Letters Patent which may be granted for said invention in any country or countries foreign to the United States and all divisions, continuations, additions, extensions, renewals and reissues thereof and all rights of priority in any such country or countries based upon the filing of the said application for Letters Patent of the United States which are created by any law, treaty or international convention; to be held and enjoyed by said ASSIGNEE, its successors, legal representatives and assigns to the full end of the term or terms for which any and all such Letters Patent may be granted as fully and entirely as would have been held and enjoyed by the undersigned had this Assignment not been made;

Each of the undersigned hereby authorizes and requests the Commissioner of Patents and Trademarks to issue any and all such Letters Patent to said ASSIGNEE, its successors or assigns in accordance herewith;

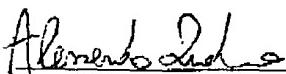
Each of the undersigned warrants and covenants that he has the full and unencumbered right to sell and assign the interests herein sold and assigned and that he has not executed and will not execute any document or instrument in conflict herewith;

Each of the undersigned further covenants and agrees that at any time upon request of said ASSIGNEE, its successors, legal representatives or assigns he will communicate to said ASSIGNEE, its successors, legal representatives or assigns all information known to him relating to said invention or patent application and that he will execute and deliver any papers, make rightful oaths, testify in any legal proceedings and perform all other lawful acts deemed necessary or desirable by said ASSIGNEE, its successors, legal representatives or assigns to perfect title to said invention, to said application including divisions and continuations thereof and to any and all Letters Patent which may be granted therefore or thereon, including reissues or extensions, in said ASSIGNEE, its successors, or assigns or to assist said ASSIGNEE, its successors, legal representatives or assigns in obtaining, reissuing or enforcing Letters of Patent of the United States for said invention;

Name and Signatures of Inventors:

Name: Thomas Nelson date \_\_\_\_\_

Name: \_\_\_\_\_ date \_\_\_\_\_

  
Name: Alessandro Quattrone date 02/13/04

Name: \_\_\_\_\_ date \_\_\_\_\_

Name: Daniel L. Alkon date \_\_\_\_\_

Name: \_\_\_\_\_ date \_\_\_\_\_

Name: \_\_\_\_\_ date \_\_\_\_\_

Name: \_\_\_\_\_ date \_\_\_\_\_

Note: *Prima facie evidence of execution may optionally be obtained by execution of this document before a U.S. Consul or before a local officer authorized to administer oaths whose authority is proved by a certificate from a U.S. Consul.*

PATENT  
Docket No. 17357.01302US  
Worldwide Rights - Sole or Joint

## ASSIGNMENT FOR PATENT

For good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, each undersigned inventor has sold and assigned, and by these presents hereby sells and assigns, unto Blanchette Rockefeller Neurosciences Institute, 9601 Medical Center Drive, 3<sup>rd</sup> Floor, Rockville, Maryland 20850 (hereinafter ASSIGNEE) all right, title and interest in and to his invention relating to Artificial Low-Density Lipoprotein Carriers For Transport Of Substances Across The Blood-Brain Barrier as set forth in his United States Patent Application

- [ ] executed concurrently herewith  
[ ] executed on \_\_\_\_\_  
[X] Serial No. 10/724,833 filed December 2, 2003.

in and to said United States Patent Application including any and all divisions or continuations thereof and in and to any and all Letters Patent of the United States which may issue on any such application or for said invention, including any and all reissues or extensions thereof and all applications for Letters Patent which may hereafter be filed for said invention in any country or countries foreign to the United States, and all Letters Patent which may be granted for said invention in any country or countries foreign to the United States and all divisions, continuations, additions, extensions, renewals and reissues thereof and all rights of priority in any such country or countries based upon the filing of the said application for Letters Patent of the United States which are created by any law, treaty or international convention; to be held and enjoyed by said ASSIGNEE, its successors, legal representatives and assigns to the full end of the term or terms for which any and all such Letters Patent may be granted as fully and entirely as would have been held and enjoyed by the undersigned had this Assignment not been made;

Each of the undersigned hereby authorizes and requests the Commissioner of Patents and Trademarks to issue any and all such Letters Patent to said ASSIGNEE, its successors or assigns in accordance herewith;

Each of the undersigned warrants and covenants that he has the full and unencumbered right to sell and assign the interests herein sold and assigned and that he has not executed and will not execute any document or instrument in conflict herewith;

Each of the undersigned further covenants and agrees that at any time upon request of said ASSIGNEE, its successors, legal representatives or assigns he will communicate to said ASSIGNEE, its successors, legal representatives or assigns all information known to him relating to said invention or patent application and that he will execute and deliver any papers, make rightful oaths, testify in any legal proceedings and perform all other lawful acts deemed necessary or desirable by said ASSIGNEE, its successors, legal representatives or assigns to perfect title to said invention, to said application including divisions and continuations thereof and to any and all Letters Patent which may be granted therefore or thereon, including reissues or extensions, in said ASSIGNEE, its successors, or assigns or to assist said ASSIGNEE, its successors, legal representatives or assigns in obtaining, reissuing or enforcing Letters of Patent of the United States for said invention;

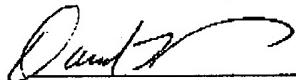
## Name and Signatures of Inventors:

Name: Thomas Nelson date \_\_\_\_\_

Name: \_\_\_\_\_ date \_\_\_\_\_

Name: Alessandro Quattrone date \_\_\_\_\_

Name: \_\_\_\_\_ date \_\_\_\_\_

  
date Feb. 5,  
date 2004

Name: Daniel L. Alkon

Name: \_\_\_\_\_ date \_\_\_\_\_  
Name: \_\_\_\_\_ date \_\_\_\_\_

Name: \_\_\_\_\_ date \_\_\_\_\_

Name: \_\_\_\_\_ date \_\_\_\_\_

Note: *Prima facie* evidence of execution may optionally be obtained by execution of this document before a U.S. Consul or before a local officer authorized to administer oaths whose authority is proved by a certificate from a U.S. Consul.